

**PROCEDURAL ACT
OF THE ENERGY COMMUNITY SECRETARIAT**

2019/07/ECS-EnC on the adoption of the IT and Security Policy for the Energy Community

The Energy Community Secretariat,

Having regard to the “Procedures for the Establishment and Implementation of Budget, Audit and Inspection” (“Budgetary Procedures”) in particular to the Article 66 thereof,

Having regard to the Energy Community Staff Regulations in particular of the Regulations 3.5 and 3.6 c) thereof,

Having regard to the Austrian Public Procurement Law (“Procurement Law”) in its current version,

Taking into account the Procurement Guidelines established for the purpose of implementation of the Procurement Law,

Having regard to the provisions of the Financial Management Rules (ECS/PA/2019/08) related to the initiation, verification and approval of the expenditures,

Taking into account the current version of the Policy on Use of Mobile Phones (ECS/PA/2018/03),

Having regard to increasing requirements in respect of the documentation of the information technology processes including acquisition of goods,

Wishing to provide a set of rules binding on the Secretariat and its staff aiming at ensuring a high level of information security,

ADOPTS THE FOLLOWING PROCEDURAL ACT:

Article 1

The Director of the Energy Community Secretariat adopts the IT and Security Policy for the Energy Community as attached.

Article 2

This Procedural Act enters into force on the day of its adoption.

For the Energy Community

A handwritten signature in blue ink, appearing to read "Janez Kopač".

Janez Kopač
Director

Done in Vienna on 2 December 2019.

Article 1 Purpose

1. The present Rules (hereinafter "IT Policy") contain policies, procedures and responsibilities for administration of computing and networking facilities of the Energy Community Secretariat ("the Secretariat"). It also provides a policy for the use of the Energy Community technology facilities.
2. All purchases of assets referred to in this policy must adhere to the applicable Public Procurement Law and the Financial Management Rules of the Energy Community, including the applicable Procurement Guidelines.

Article 2 Hardware Purchasing

1. In purchasing of hardware (desktops, servers, portable computers, computer peripherals and mobile devices) for the Energy Community, the officials responsible shall ensure that all hardware technology is appropriate, obtained at best value for money and, where applicable, integrates with other technology used at the Secretariat. The purchase policy shall endeavour to minimize diversity of hardware within the Secretariat.
2. Desktop computer systems purchased must run a Windows operating system and integrate with existing hardware iOS based end-devices. Desktop computer systems must be purchased as standard desktop system bundle and must be from a manufacturer that fulfils quality standards required for the performance of tasks of the Secretariat staff.

Desktop computer system purchases must include desktop tower, desktop screen of 24 inch or larger, keyboard and mouse, windows 10 operating system. The minimum capacity of the desktop must include an Intel i5 processor, Memory of 8 GB (RAM), a hard disc Solid-State Drive (SSD) 1TB. All purchases of desktops must be supported by three years of onsite guarantee and be compatible with the Secretariat's server system.

3. The portable computer systems purchased must fulfil the quality standards required for the performance of tasks of the Secretariat staff, in particular in connection with the warranty requirements.

Portable computer systems purchases must include keyboard and mouse, external Screen of 24 inch or larger and a docking station. Portable computer systems purchased must run a Windows 10 operating system and integrate with existing hardware. The minimum capacity of the portable computer system must include an Intel i7 processor, Memory of 16 GB (RAM), a hard disc Solid-State Drive (SSD) 512 GB, USB type 3 ports, HDMI port, integrated web-camera, microphone/headphone jack/socket. The portable computer system must include the following software provided: MS Office 2016, VPN, Antivirus, Security Suite. All purchases of all portable computer systems must be supported by three years onsite guarantee (care packs extensions) and be compatible with the institution's server system.

4. Requirements for the purchase of server systems are to be defined by the Energy Community IT service provider. Server systems purchased must be compatible with all other computer hardware in the Secretariat.

All purchases of server systems must be supported by three years onsite guarantee and be compatible with each other and with the Secretariat's other server systems.

5. Computer peripherals can only be purchased where they are not included in any hardware purchase or as an additional requirement to existing peripherals. Computer peripherals purchased must be compatible with all other computer hardware and software in the Secretariat.

All purchases of computer peripherals must be supported by 3 years onsite guarantee and be compatible with the institution's other hardware and software systems.

6. The purchase of mobile phones shall be done within the scope of the contract for the telecommunication services. The purchase shall take into account the eligibility criteria established under the Energy Community policy on the use of the mobile phones¹. The IT service provider shall be made responsible for the setup and maintenance of the mobile phones in use.

All purchases of software must be supported by iOS operating system and be compatible with the Secretariat's server and/or hardware system.

7. Any change from the above requirements must be authorised by Director in writing.

Article 3 Software Purchasing

1. In purchasing of software (software obtained as part of hardware bundle or pre-loaded software) for the Energy Community, the officials responsible shall ensure that all software used by the Secretariat is appropriate, purchased at the best value for money and where applicable integrates with other technology for the institution.

2. Before procuring, the purchase of software must be consulted with the IT service provider by the officials responsible.

¹ ECS-2018_PA_2018_03_ECS-EnC_10-04-2018_Policy on the use of mobile phones

3. All purchases of software must be supported by proper guarantee and be compatible with the Secretariat's server and/or hardware system.
4. Any changes from the above requirements must be authorised by the Director in writing.

Article 4 Software Downloading

1. All open source or freeware must be compatible with the Secretariat's hardware and software systems. The downloading or installation of open source or freeware software by officials of the Secretariat shall be consulted with the IT service provider prior to the download or use of such software.
2. The responsibility for damage resulting from downloading or instalment of software without consultation or against the opinion of the IT service provider lies with the relevant official.

Article 5 Hardware Security

1. Each official is responsible for the security and safety of all portable technology, such as laptop, mobile phones he/she received from the Secretariat. For installing portable devices such as mobile phones or laptops, the IT service provider shall be made responsible to ensure the highest possible access security for the user.
2. Lost or theft of such a device must immediately be reported to the Head of Administration and Finance in line with the Financial Management Rules.
3. When users leave their desks, they must lock their screens or log out to prevent any unauthorized access.
4. Upon termination of employment or contractual relationships, the official must return all devices and storage media owned by the Energy Community to the Head of Administration and Finance. He/she shall subsequently request the IT service provider for appropriate storage/cleaning of storage/disposal of asset.
5. For all servers, mainframes and other network assets, the servers' rooms at the premises of the Secretariat in Vienna shall be secured with adequate ventilation and appropriate access through key lock system. The Head of Administrative and Financial Unit is responsible to ensure that this requirement is followed at all times. Any employee becoming aware of a breach to this security requirement is obliged to notify the Head of Administrative and Financial Unit immediately. The latter shall report to the IT service provider and the Director without delay.

Article 6 Data Security

1. All relevant data stored on server of the Energy Community and its institutions that is sensitive, valuable and critical for the institution shall be backed up. The IT service provider shall be made responsible to ensure that data back-ups are conducted as follows

- Full back-up once in 24 hours / 7 days a week
- Two back-ups (11:00 and 15:00) only for the changes
- Additional external backup, currently over AWS.

The backed up data is kept on site and in addition in the cloud.

2. All Microsoft Windows based devices that have internet access must have anti-virus software installed. The IT service provider shall be made responsible to install all anti-virus software and ensure that this software remains up to date on all technology used by the institution.

3. Each official is required to use passwords to protect the security of the assets the institution's system issued to him/her as well as the data stored on it. He/she will receive an initial password by the IT service provider and be required to reset his/her password immediately after the initial entry into the system, and when recommended every six months thereafter.

Passwords shall fulfil the following minimum requirements:

- a) at least six characters;
- b) at least one number; and
- c) at least one uppercase and lowercase letter.

It is the official's responsibility to protect his/her user account details. The passwords shall not be shared with any other person, including officials of the Secretariat, written down on paper, or stored in the user's computers.

Where an official forgets the password, the IT service provider is authorized to reset a new temporary password that shall be changed immediately after the first login.

Article 7 IT Administration

1. All software, including authorized freeware, installed and the license information must be registered in the software folder at the shared drive ("the register"). The IT service provider shall be made responsible to ensure that the register is maintained and updated on regular basis. The register must reflect which license agreements are in place for each software package and the renewal dates.

2. The IT service provider shall be made responsible for carrying out regular updates of programs, software and web browsers on the entire infrastructure including clients.

An annual inventory of IT assets of the Secretariat shall be carried out in line with the Financial Management Rules. Additional IT audits may take place when requested by the Director or the Head of Financial and Administrative Unit, including substitutes.

Article 7 Rights and Duties of Officials

1. In principle, shared drives (in Explorer) of the Energy Community are open to all officials. If required by the sensitive nature of information, access to specific drives such as Management, Legal, Recruitment, Accounting and Data Protection may be restricted.
2. The officials of the Secretariat shall be accountable for all activity associated with their user accounts. They shall, in particular, be liable for ensuring that all information accessed, used, stored or sent from his/her account is to adhere to the applicable rules pertaining to confidentiality and data protection requirements applicable in the Energy Community, including the present Rules.
3. Officials may not, neither by electronic or by any other means, save, copy, file, transfer or otherwise process documents of official nature and communication sent or received from his/her account at the Energy Community, as well as any other information received in a professional capacity, beyond what is required by his/her duties under the respective employment agreement.
4. Officials are obliged to maintain the confidentiality of propriety or any other non-public information that came to his/her knowledge through the work at the Energy Community and after he/she left the organization.